

**TOTAL COMPENSATION RECORDS MANAGEMENT AUDITS
NOTEWORTHY ACCOMPLISHMENTS
BY CATEGORY**

Category (suggested)	Department/Institution	Noteworthy Accomplishment	Contact Name	Contact Number
Benefits Administration	CU - System	The benefits program for the University of Colorado is centralized and administered by the university's Payroll and Benefit Services office, located in Boulder. There are two noteworthy accomplishments related to this audit:	Paul Perales	303-735-2517
Benefits System	CU - Health Sciences Center	The benefits program for the University of Colorado is centralized and administered by the university's Payroll and Benefit Services office, located in Boulder. There are two noteworthy accomplishments related to this audit: 1) The documentation of employee benefits election and benefits changes was comprehensive and complete. 2) The communication processes and timeliness deserve special mention - a) orientation sessions are conducted three times a month and can be conducted in four different languages as necessary, b) notification and follow-up letters to employees on issues such as COBRA, leave without pay, and beneficiary updates, and c) open enrollment processes.		
COBRA Notification	Otero Junior College	Even though turnover rarely occurs at OJC, when it does and employees are informed of their COBRA benefit, the HR Administrator does not rely on the mail system or courier to deliver the information. Instead, the HR Administrator delivers the documents in person at the exit interview to ensure receipt.	Marlene Boettcher	719-384-6824
Communications	Department of State	The percentage of employees responding to the employee survey, 82.7% of the ninety-eight in the workforce at the time of the audit, and the overwhelming positive response level to all the questions posed, documents a highly effective human resources communication program. The positive comments about the delivery of human resources services underline the impact that has been achieved. The employees know and understand the human resources provisions affecting them and also know how to get more information, change and update information, and who to contact for other issues. The information is provided to employees in writing and electronically, with links to state websites for specific policies and procedures. Employees verify and acknowledge policies given to them, which reinforces their recall of such policies.	Sybil Clausen	303-860-6906
Compensatory Time Agreement	Morgan Community College	MCC has done an exemplary job of ensuring that each employee has a compensatory time agreement on file for any overtime worked. All files reviewed had accurate and complete agreement.	Janet Brinkman	970-542-3128

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Confidentiality	Department of Agriculture	Several laws, including Title VII, ADA, FMLA, and HIPAA, outline confidentiality and privacy provisions for the protection of employee records, medical information, and personal information. The Department of Agriculture recently developed a department-wide policy regarding confidentiality. The policy outlines what is considered sensitive or confidential information (paper and electronic), and explains how to protect information, release of information, disposal of records and personal information. All employees received a copy of the policy and were required to sign a confidentiality agreement. This agreement will be maintained in each employee's personnel file and is being incorporated into the orientation program.	Jan Garber	303 - 239-4106
Customer Service	Adams State College	The Adams State College Department of Human Resources should be commended on regaining its credibility with employees after a lengthy vacancy of the HR Director. The current Director has made it a priority to restore a favorable image of the human resources office by establishing positive working relationships with employees through good customer service and open communication. This commendation is supported by comments received from the employee survey.	Marlene Boettcher	719-384-6824
Electronic Communications	Department of Regulatory Agencies	A comprehensive intranet is available to all DORA employees. The HR section is responsible for the nature, scope, and content of information available on the system; and the IT section is responsible for its technical aspects and maintenance. The Intranet has links to both DORA's and the state's rules, procedures, and policies; the electronic leave tracking system; performance planning and management system information; job announcements; available training courses; benefits information; various forms used by the Department; and links to all of the divisions. In addition to providing links to Department websites, the DORA Intranet is used as a paperless communication method allowing employees to collectively learn about changes, updates, and deadlines related to a variety of topics.	Michelle Pedersen	303-894-2441

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Employee Handbook	CCCS	CCCS has developed a comprehensive employee handbook, available on-line to all CCCS and community college employees. The Communications/System Office, based on input from individual departments, updates the handbook and communicates changes via email. A designated member of the CCCS HR staff provides orientation to new employees on their first day of work. An orientation check-off sheet ensures consistency in the process. Information and	Cindy Hesse	303-595-1634
Employee Orientation	Department of Transportation	CDOT has done a commendable job in designing and administering a new employee orientation program. This program meets the need for communicating central policies to all employees in a manner that recognizes the importance and effectiveness of facility control in the format and style of communication as well as permitting facilities the flexibility of including orientation materials that reflect the local community and needs of employees.	Ruth Mandrell	303-757-9680
Family Medical Leave	Department of Natural Resources	The FML coordinator has created a database that tracks FML use, generates notices, and the cover sheet for each file that records status. Notices are issued in a timely manner. Aside from issues with FML administration and security of files previously mentioned, the organization and documentation on those FML cases the coordinator is aware of is exemplary. She has also prepared a web-based interactive training that concludes with a test. In addition to the training module, general FMLA information is posted under "Hot Topics" on the DNR intranet.	Kim Burgess	303-8662417
Family Medical Leave	Mesa State College	MSC maintains a "FML Logbook" which summarizes the key information about the status of each FML case. This logbook is very useful in finding important information on the status of FML cases at a quick glance.	Barbara Case King	970-248-1266
Family Medical Leave	Metropolitan State College of Denver	MSCD maintains a "FML Tracking Spreadsheet" which summarizes the key information about the status of each FML case. This spreadsheet is very useful in finding important information on the status of FML cases at a quick glance.	Tamy Calahan	303-556-3120

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FLSA – Exemption Designation	CU – Colorado Springs	The HR Office at UCCS has implemented a good practice by providing FLSA exemption status for all positions through the standard job offer letter. In addition, the HR office requires supervisors to select one of the comp-time agreements, which is signed by the supervisor and employee. This standard procedure is a noteworthy practice, ensuring employees are properly notified of their FLSA exemption status	Vickie Hilty	719-262-3304
FML Documentation and Training	CU - Boulder	The on-going FML training and emphasis on the importance of documentation is a good practice at CU at Boulder and Personnel/Payroll Liaisons (PPLs) should be commended for their diligence in designation and documentation and for maintaining confidentiality and security. The Office of Labor Relations has done a noteworthy job in keeping their PPLs informed and trained on FML issues.	Zaneta Johns	303-492-4491
I-9	CU - Health Sciences Center	Process for tracking and re-verifying employees' work eligibility under the Immigration Reform and Control Act.	Cindy Corwin	303-315-2712
I-9 Documentation and Follow Up	CU - Boulder	CU at Boulder HR staff are to be commended for the thorough process used in acquiring I-9 documentation on a timely basis and for tracking employees who are close to expiration dates on work authorization visas, alien registrations, and passports.	Zaneta Johns	303-492-4491
I-9 Tracking	Colorado State University (Fort Collins)	The electronic entry and reporting process and subsequent notifications providing a 3-month prior notice of upcoming expiration of foreign nations/aliens eligibility to work is a noteworthy process. In addition, the coordination of the many associated offices for proper documentation, verification, and tracking appears seamless. The entire I-9 process is very easy to follow and provides for great efficiency.	Carol Shirey	970-491-5793
I-9s for foreign nationals	AHEC	AHEC, like other higher education institutions, employs individuals (students and permanent employees) who are not US citizens, but are authorized to work. Departments who hire aliens are required to track their status and re-verify employees' work eligibility. AHEC monitors eligibility by establishing end-dates in EMPL. Students' eligibility is checked every semester, and employees will not be paid if they do not re-verify their eligibility to work. Supervisors and employees are notified prior to the end date and it is their responsibility to ensure the necessary paperwork is obtained and witnessed by the human resource staff.	Cynthia Hier	303-556-4596

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Incentive Awards	Department of Regulatory Agencies	DORA administers extensive department-wide individual and team performance incentive award programs. Incentive rewards at DORA include the DORAwards program, a cross-division awards program, and the EDO Awards Program.	Michelle Pedersen	303-894-2441
Leave Management	CCAN	The leave documentation is excellent and well organized for all the leave files reviewed. The cross check each month by payroll in reconciling employee timesheets with leave records and initialing each leave occurrence on the time sheet as documentation is an excellent practice. The reports available and the information provided to employees on a quarterly basis allow any possible discrepancies to be resolved quickly and to be limited to a three-month time frame.	Dee Martinez	303-294-5050
Leave Management	CCCS	In November 2002, CCCS instituted a web-based timekeeping system called Ultimus, which automates leave requests, leave approvals, and timesheets. This timekeeping system tracks annual leave, sick leave, leave without pay, overtime, and comp time. The next system development phase will include tracking for shift work.		
Leave Management	Community College of Denver	In February of each year the leave balances are reconciled for employees and e-mail notice "Possible Leave Forfeiture in June and July" is sent to those employees who are projected to exceed maximum accrual rates. This notification allows employees an adequate amount of time to use any annual leave prior to June 30th. The notice also identifies potential excess sick leave that may be converted to annual leave.	Raul Armendariz	303-352-3001
Leave Management	Department of Corrections	The leave system at DOC is effective and efficient. The department uses a centralized timekeeping system called DCIS. All facilities submit signed leave request forms and any amended leave forms to the payroll office in Canon City. Only payroll staff in Canon City and authorized HR staff in OHR in Colorado Springs have access to the DCIS database for any changes or input of leave. All the leave records audited were accurate and reconciled fully with the time records. Leave records are audited internally on at least an annual basis. For such a large department with employees in many locations around the state and very complicated work shifts and overtime issues, a flawless result in the sampling of this system is extraordinary.	Ross Kimbrel	719-226-4401

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Leave Management	Department of Law	DOL leave files are centrally managed and well organized with detailed and complete documentation of leave requests, changes to leave, and the monthly and fiscal year calendars showing the hours of leave, the type of leave, and if known, the specifics of the reason for leave. The Leave Coordinator can easily and efficiently generate quarterly and/or requested reports. A notification of employee leave balances is generated and distributed to each employee quarterly. The notification requires the employee's signature indicating agreement with the current leave balances in the system. Letters to employees on leave matters reference the applicable state rule and the department policy number where there are details specific to DOL.	Steve Akers	303-866-5123
Leave Management	Department of Public Safety	The accuracy and completeness of the leave records and files for CDPS is notable. With the complicated and varied schedules of its staff, the many supervisory locations statewide, and the amount of paper being sent to HRS, CDPS is doing an excellent job of tracking and maintaining leave usage, records and balances.	Marshall Norman	303-239-4430
Leave Management	Department of Regulatory Agencies	A user-friendly Electronic Time Tracking Application (ETTA) has been developed for the purpose of tracking leave. The IT section built and programmed the system, and the HR section developed and established the system and system parameters, and transitioned to the system. The HR section is accountable for tracking, verifying and validating, ensuring the accuracy, granting permissions and approving leave, and maintaining the accuracy and integrity of the information and the system. Additionally, the HR section is responsible for on-going development and improvements	Michelle Pedersen	303-894-2441
Leave Management	Mesa State College	In February of each year, employees receive a notice that provides annual and sick leave balances and maximum accruals to avoid any forfeiture of leave at the end of the fiscal year. This notification allows employees and adequate amount of time to use any annual leave prior to June 30th.	Barbara Case King	970-248-1266
Mandatory Employee Training Follow-up Procedure	CU – Colorado Springs	UCCS HR staff track employee attendance of mandatory training in a computer database. Part of the process includes a follow-up phone call or e-mail to notify employees and their supervisors of employees who need training. This is a very effective practice, ensuring all employees attend required training.	Vickie Hilty	719-262-3304

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Medical Files	Department of Education - Colorado School for the Deaf and Blind	The Workers' Compensation and FMLA records are kept in the same file cabinet, which is secured and has limited access. All claims were timely and all required forms were filled out completely. Leave taken was clearly noted in all files.	Chelle Lutz	719-578-2114
Performance Planning - 100%	Department of Labor & Employment	CDLE has developed a system to ensure 100% compliance of performance planning and appraisal through the use of a computerized tracking system. This is a best practice that could be utilized at other departments.	Bob Cropp	303-318-8207
Personnel Files	CU - Boulder	CU at Boulder is to be commended for maintaining a stringent level of confidentiality standards and for maintaining impeccable personnel files.	Zaneta Johns	303-492-4491
Personnel Files	Lamar Community College	It should be noted that the personnel files are extremely well organized and it is easy to grasp any subject. The personnel file contained a number of files, consistently color-coded by subject, making this review very simple and efficient.	Gwen Gruenloh	719-336-2248 x148
Personnel Files	Trinidad State Junior College	TSJC maintains a log and tracking sheet in the performance evaluations section of the personnel files. The log sheet identifies the most recent performance plan or evaluation that has been placed in the file (including the year) and is useful in tracking important information on the status and history for each employee.	Lori White	719-846-5550
Policies	Department of Public Health & Environment	The human resources policies are formatted in an easily understandable manner. The policy subject, date, and number of pages is clearly indicated at the top as well as whether this is a new or revised publication. The format is consistent, beginning with a Summary, Purpose, Applicability, and the Policy itself with general and specific information and examples, if applicable. The policy document ends with the source authority (statute, rule, procedure, etc.) and the author of the policy.	Roz Bedell	303-692-2060
Policies and Department Letters	Department of Labor & Employment	CDLE has a comprehensive set of policies with a detailed numbering system and should be commended for its attention to policy making for employees as it relates to employment and dealing with the public. Several policies have been developed to guide employees in the appropriateness of written and oral communication with internal and external entities.	Bob Cropp	303-318-8207

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Records Management	Department of State	The personnel, position, FML and Workers' Compensation files were comprehensive, organized and complete. It was easy to find and review the information required for the audit. All files were properly secured and clearly labeled. The organization of the files allowed the audit to be completed more quickly and facilitated the review of records being audited.	Sybil Clausen	303-860-6906
Records Management	Department of Transportation	The management of the personnel, position, leave, I-9, benefits, FML and Workers' Compensation records is highly commendable. These files are well maintained, well organized, and complete. All the files are well secured and access is limited appropriately. For a large department with personnel in many locations throughout the state and limited Human Resources and other staff, this is an extraordinary achievement.	Ruth Mandrell	303-757-9680
Records Management	Front Range Community College	The personnel, position, FML and Workers' Compensation files were comprehensive, organized and complete. It was easy to find and review the information required for the audit. All files were properly secured and clearly labeled. The organization of the files allowed the audit to be completed more quickly and facilitated the review of records being audited.	Ron Ross	970-204-8106
Records Management	Trinidad State Junior College	The management of the Personnel files, President's Office Personnel files, Payroll files, and Benefit files is commendable. These files are well maintained, well organized, and complete. Information in each of these files is easy to locate and is filed consistently. All the files are well secured and access is limited appropriately.	Lori White	719-846-5550
Risk Management	CU - System	The Risk Management office has done an exemplary job of creating and maintaining well-documented records and the sound process used to ensure confidentiality of Workers' Compensation claims and processing. In addition, the staff has provided clear processes and guidelines so that virtually all employees know the proper steps to take for claims, where to go and what to expect in the claims processing.	Paul Perales	303-735-2517

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Tracking System for Performance Evaluation Cycles	Otero Junior College	All files had up-to-date performance evaluations. The OJC HR Administrator retains all original performance plans; then at mid-year the plans are redistributed to the supervisors for mid-year reviews. Upon completion and signature review, the plans are returned to the HR office. Again, at end of the performance cycle, the plans are distributed to supervisors for evaluation and review. Upon return, HR enters the appropriate data in EMPL.	Marlene Boettcher	719-384-6824
Training Program for CDLE Supervisors	Department of Labor & Employment	An advisory recommendation to CDLE in the 1995 audit was to explore developing a training program for supervisors in a variety of HR functions including those processes unique to the department. CDLE has a formalized training program covering compensation, rules and procedures, policies, and department letters, complying with this recommendation. This is a best practice that could be emulated in other agencies to ensure employees are properly oriented, trained, and familiarized with state and departmental mission and goals, rules, procedures, and policies.	Bob Cropp	303-318-8207
Workers' Compensation	AHEC	AHEC has done an exemplary job in reducing the number of workers' compensation claims, reducing the number of lost workdays, and tracking these claims. Their policy and training program stresses the importance of workers' compensation and includes a provision of possible corrective action for failure to report an injury. They reduced the time employees report a claim from 23 days in 1998 to four days in 2001. They also have established processes to minimize the number of lost workdays. Lost workdays reduced from 727 in 1998 to 358 in 2001; and their expenses reduced from \$383,062 to \$126,572.	Cynthia Hier	303-556-4596
Workers' Compensation	Department of Corrections	Corrections staff are to be commended for instituting a program that has saved the Department, and the State of Colorado, millions of dollars in Workers' Compensation costs. Implementing several new procedures and establishing transitional duty positions for recovering employees accomplished this.	Ross Kimbrel	719-226-4401